

**LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANTS' INFORMATION DISCLOSURE
STATEMENT**

Reference Designation

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
EC AAA	4,412,287	10/25/83	Walter D. Braddock III	364	408	
EC ABA	4,674,044	06/16/87	Kalmus et al.	364	408	
EC ACA	5,077,665	12/31/91	Silverman et al.	364	408	
EC ADA	5,101,353	03/31/92	Lupien et al.	364	408	
EC AEA	5,136,501	08/04/92	Silverman et al.	364	408	

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner Initial

- EC AFA Adams et al., "Commodity Bundling and the Burden of Monopoly," *The Quarterly Journal of Economics* Vol. XC, 475-498 (1976).
- EC AGA Brewer et al., "A Binary Conflict Ascending Price (BICAP) Mechanism for the Decentralized Allocation of the Right to Use Railroad Tracks," Social Science Working Paper 887, California Institute of Technology, Division of the Humanities and Social Sciences, Pasadena, California (February 1995).
- EC AHA Goodwin, Richard M., "Iteration, Automatic Computers, and Economic Dynamics," *Metroeconomica* Vol. III, pp. 1-7, (April 1951).
- EC AIA Levin, Jonathan, "An Optimal Auction for Complements," *Games and Economic Behavior* Vol. 18, 176-192 (1997).
- EC AJA McAfee et al., "Multiproduct Monopoly, Commodity Bundling, and Correlation of Values," *The Quarterly Journal of Economics* 371-383 (May 1989).
- EC AKA Gjerstad et al., "Price Formation in Double Auctions," pp. 1-32 (April 7, 1997)
- EC ALA McAfee et al., "Analyzing the Airwaves Auction," *Journal of Economic Perspectives* Vol. 10, No. 1, 159-175 (Winter 1996).
- EC AMA Weber, Bruce W., "Transparency and Bypass in Electronic Financial Markets," Proceedings of the Twenty-Seventh Annual Hawaii International Conference on System Sciences, pp. 865-874 (1994).
- EC ANA Domowitz et al., "Auctions as algorithms," *Journal of Economic Dynamics and Control* Vol. 18, pp. 29-60 (1994).
- EC AOA Radosevich, Lynda, "Wired," *Webmaster*, pp. 26-31 (February 1997).
- EC APA Branco, Fernando, "Designing Markets: on the Use of Combinational Bids in Multi-object Auctions," pp. 1-25 (May 1997).
- EC AQA McAfee et al., "Electronic Markets" in *Readings in Electronic Commerce*, pp. 293-309 (Addison Wesley Longman, Inc. 1997).
- EC ARA Hill et al., "Equity Trading, Program Trading, Portfolio Insurance, Computer Trading and All That," *Financial Analysis Journal*, pp. 29-35 (July-August 1988).
- EC ASA Rubinstein, Mark, "Market Basket Alternatives," *Financial Analysts Journal*, pp. 20-29 (September-October 1989).

- JL ATA McCabe et al., "Designing 'Smart' Computer-Assisted Markets: An Experimental Auction for Gas Networks," *Journal of Political Economy* Vol. 5, pp. 259-283 (1989).
- JL AUA Rassenti et al., "A combinatorial auction mechanism for airport time slot allocation," *The Bell Journal of Economics*, Vol. 13, pp. 402-417 (1982).
- JL AVA Domowitz, Ian, "The Mechanics of Automated Trade Execution Systems," *Journal of Financial Intermediation* Vol. 1, pp. 167-194 (1990).
- JL AWA Rothkopf et al., "Computationally Manageable Combinatorial Auctions," pp. 1-26, Rutgers University (December 1995).
- JL AXA Bikhchandani et al., "Competitive Equilibrium in an Exchange Economy with Indivisibilities," *Journal of Economic Theory* Vol. 74, pp. 385-413 (1997).

Examiner:

J. Colbeck

Date Considered:

4-29-06

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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368:18608-P001C1

Serial No.: 09/067,040
 Applicants: Jan Stallaert et al.
 Filing Date: April 27, 1998
 Group: Not assigned
 Atty. Docket No.: 18608-P001C1

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Reference Designation**U.S. PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
EC AAA	5,689,652	11/18/97	Lupien et al.	395	237	
EC ABC	5,873,071	02/16/99	Ferstenberg et al.	705	37	
ACA						
ADA						
AEA						
AFN						
AGA						
AHA						
AIA						

FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes No
ANA						
AOA						
APA						

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

- Examiner Initial
- AQA Ming Fan et al., *Creating Electronic Markets*, Dr. Dobb's Journal, November 1998, pp. 52, 54-56.
- ARA Ming Fan et al., *A Web-Based Financial Trading System*, Computer, Vol. 32, No. 4, April 1999, pp. 64-70.
- ASA R. M. Miller, *On Distributing the Intelligence of Economic Processes*, Economics and Artificial Intelligence Proceedings of the IFAC/IFORS/IFIP/IASC/AFCET Conference, AIX-En-Provence, France, 2-4 Sept., 1986, p. 161, XP002102608.

Examiner:

J. Collett

Date Considered:

4-28-06

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 368:18608-P001C1

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PTO/SB/08A (10-96)

Approved for use through 10/31/99. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Application Number	09/067,640
				Filing Date	April 27, 1998
				First Named Inventor	Jan Stallaert
				Group Art Unit	2761
				Examiner Name	Not yet assigned
Sheet	1	of	2	Attorney Docket Number	18608-P001C1

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

Examiner Signature E. Calle RA Date Considered 4-29-06

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Substitute for form 1449B/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>		Application Number	09/067,640
		Filing Date	April 27, 1998
		First Named Inventor	Jan Stallaert
		Group Art Unit	2761
		Examiner Name	Not yet assigned
Sheet	2	of	2
		Attorney Docket Number	18608-P001C1

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No'	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T'
<i>JL</i>		FAN, ET AL., Creating Electronic Markets; Dr. Dobb's Journal; November 1998; 5 pages	
<i>JL</i>		KALAKOTA, ET AL.; Worldwide Real-Time Decision Support Systems for Electronic Commerce Applications; Journal of Organizational Computing and Electronic Commerce 6(1), 11-32 (1996); 22 pages; University of Texas; Austin, Texas	
<i>JL</i>		R.M. MILLER; On Distributing the Intelligence of Economic Process; IFAC Economics and Artificial Intelligence; 1986; 2 pages; Aix-en-Provence, France	

Examiner Signature		Date Considered	4-3-06
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+ *EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Unique citation designation number. 2 Applicant is to place a check mark here if English language Translation is attached.

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